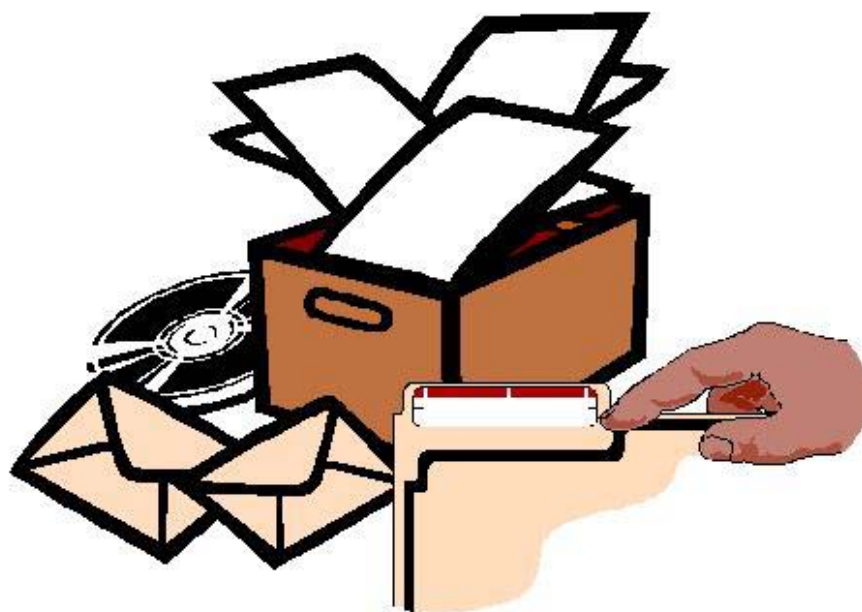


Records Retention and Disposition for Arizona Community Colleges and Districts



Arizona State Library, Archives and Public Records
Records Management Division
October 2002

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1919 West Jefferson Street
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ACCESS

Chapter 1 - The Life-Cycle Of Records

WHAT ARE RECORDS?

A discussion of records retention should logically begin with determining just what is a record. Definitions may vary depending on the author, context and scope of what is being defined. For the purposes of this discussion, the audience is Arizona community colleges and districts, and the legal definition, as it appears in the State Library statutes, shall apply.

As defined in the Arizona Revised Statutes (A.R.S. §41-1350) records are: *All books, papers, maps, photographs or other documentary materials, regardless of physical form or characteristics . . . made or received by any governmental agency in pursuance of law or in connection with the transaction of public business and preserved or appropriate for preservation by the agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government, or because the informational and historical value of the data contained therein . . .*

Records as defined above are the property of the State of Arizona. They are in no sense personal property nor are they the property of a specific agency or political subdivision (A.R.S. §41-1347).

It is frequently assumed that records are only paper materials. In the definition above the phrase "regardless of physical form or characteristics" greatly expands on that assumption. Records may include computer based records, still photographs, motion pictures, audio and video recordings, charts, maps, drawings, plans, micrographics and more.

E-RECORDS

E-records are those that reside in electronic computer systems "regardless of physical form..."¹. Those records created in an electronic/digital environment are referred to as "born digital" and may well spend their entire life-cycle in this form. E-records are a documentary product of e-government, or digital government.

The Arizona Electronic Transaction Act (A.R.S. §44-7001 et. seq.) authorizes state and local governments to establish electronic/digital systems for conducting their business. It also specifically requires that any records that are a product of these systems be managed pursuant to Arizona's government records statutes.

"ALERT" (Arizona 'Electronic Records Taskforce)

ALERT was created by the Arizona State Library, Archives and Public Records as an advisory

group meant to ensure that the electronic records management program established by the agency will address the needs of all affected government entities. The taskforce is composed of representatives from various state and local government agencies. The group welcomes participation and comments from concerned parties. More information may be found at the State Library web site, www.lib.az.us.

ELECTRONIC RECORDS MANAGEMENT (ERM)

Although this manual does not specifically address the management of electronic records, a separate manual "Managing Arizona Government Electronic Records" is being developed for that purpose. That manual is expected to be ready for publication in the first quarter of 2003.

THE CONCEPT OF THE RECORD LIFE-CYCLE

A life-cycle is simply the stages through which an organism passes during the course of its lifetime. Pertaining to records, it consists of the various phases a record passes through from the time of its creation or receipt to the time of its final disposition.

As with any inanimate, man-made item, the life-cycle of records is not determined by natural laws, but by the needs of the individuals creating and using records. Figure 1 illustrates the life-cycle of typical paper records.

RECORDS CREATION

The life-cycle of a record begins when it is created or received by an agency. A record is created whenever documentary information is placed onto a medium thus making intangible information into tangible records. This action takes place when forms are filled out, correspondence is written, reports are compiled and printed, information is recorded magnetically or electronically, etc.

The medium a record is produced on and the manner of creation does not significantly alter the concept of the life-cycle. All records are created, retained and disposed of on some cyclical basis.

RECORDS RETENTION

Records retention is the maintenance of documents for further use. Paper records are usually retained in office filing equipment while they are active. When activity; i.e., references to records; drops to a very low level they are considered inactive and may complete their retention in a records center.

Records centers are specifically designed to house inactive records far more economically and efficiently than in an office. Records centers are also

¹ A.R.S. §41-1350

more economical than microfilming for storage of any record with a retention of less than sixty years.

NON-RECORDS

The definition of records encompasses a broad spectrum of recorded information; but not all recorded information is a record. According to Statute (A.R.S. §41- 1350):

. . . Library or museum material made or acquired solely for reference or exhibition purposes, extra copies of documents preserved only for convenience or reference, and stocks of publications or documents intended for sale or distribution to interested persons, are not included within the definition of records . . .

Non-record materials *may* include:

- Reading file copies of correspondence
- Tickler, follow-up, or suspense copies of correspondence
- Identical duplicate copies of all documents maintained in the same file
- Extra copies of printed or processed materials, official copies of which have been retained for record purposes
- Superseded copies of published manuals and directives
- Routing slips
- Transmittal sheets
- Catalogs, trade journals, magazines, etc
- Information copies of correspondence
- Physical exhibits, artifacts, and material objects lacking documentary values

Non-records are usually not to be mixed with records in the same file. Sometimes materials normally considered non-record, such as transmittal or routing slips, acquire record status because they clarify the matter being documented. Such distinctions require care and discretion.

The fact that an item is a copy does not, in itself, give it non-record status. As Figure 2 shows, several copies of a single document may each have record status because each serves a separate program purpose. Multiple copies of a single record, however, generally are not all records. One copy of a document is usually designated as the "official" copy.

When it is difficult to decide whether files are record or non-record materials, the agency should treat them as records. The assistance of the Records Management Division, Arizona State Library, Archives and Public Records is always available to help with this decision.

BE CAREFUL WITH NON-RECORDS

From the standpoint of both state and Federal court Rules of Evidence, there is little if any difference between records and copies of records. During the

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discovery process of a civil suit the non-record copies are just as discoverable as evidence as the original records. Stay on the safe side and treat non-record copies as you would treat original records.

The Life-cycle of Records

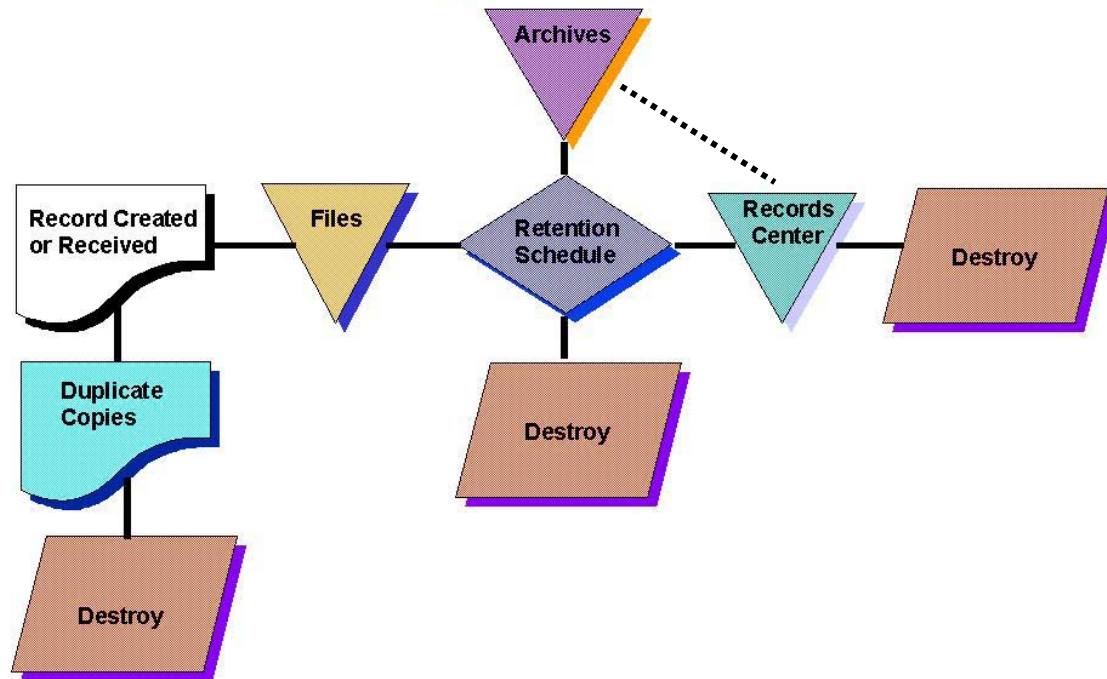


Figure 1

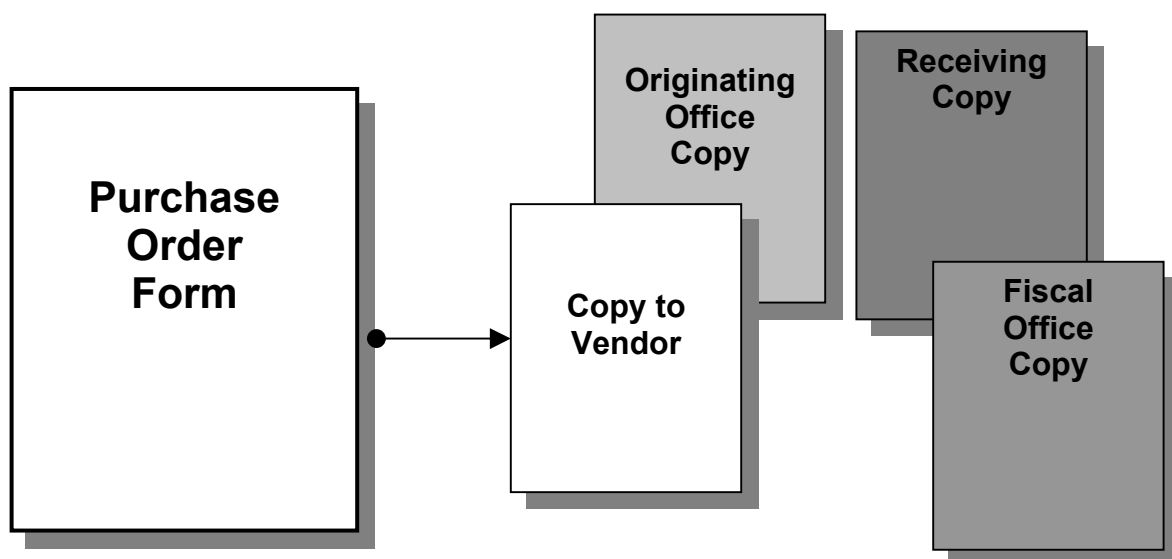


Figure 2

Chapter 2 - Records Inventory

RECORD SERIES

A record series is a group of like records that are filed together and treated as a unit for records management purposes. A records series may consist of many separate files, but it is treated as a single unit for all purposes relating to records retention.

A familiar example is "personnel files," one of which exists for every employee in the organization. Even though there may be hundreds or thousands of these files, they are referred to as a records series – "personnel files" - for records retention purposes

RECORDS INVENTORY

The first step in developing records retention and disposition schedules is to determine what records exist in an agency. This is ideally accomplished by taking a records inventory. The records inventory can be performed agency-wide or on an office by office basis.

The records inventory identifies and quantifies the records created and received by an agency. The inventory is the first step in the development of an agency's (department's) records program and becomes the working document for records retention and disposition schedules, file plans and essential records programs.

Simply defined, the records inventory is a list of each record series, together with an indication of where it is located and other pertinent data.

The inventory is not:

- A document by document listing
- A folder by folder listing

Non-record materials are not required to be included in the inventory. However, since non-records are discoverable and admissible as evidence it is advisable to *include* them in the inventory and describe them thoroughly. If they are duplicates or extra copies, indicate that they are not the record copy and show their use and proposed retention.

The inventory frequently produces some startling results. If an agency or department has not been following a systematic records disposition program the inventory will probably reveal:²

- 40% of the total volume will remain in the office.
- 30% of the total volume may be destroyed immediately.
- 30% of the total volume may be boxed and shipped to inactive storage.

TAKING THE INVENTORY

There are basically two methods of inventorying records: the physical inventory and the survey /

questionnaire. In the physical inventory, personnel specially trained by and working for the agency records management unit inventory all records in an agency. They use a carefully designed inventory form which provides for all necessary information. The physical inventory is the most accurate and complete method for determining exactly what records exist in an agency.

In the questionnaire method, a well designed questionnaire(s) is distributed to all unit managers for completion by personnel from each unit. This requires commitment and cooperation from each unit. This method can be efficient and effective providing that the individual units cooperate fully with the records management staff.

Before the inventory begins, agency structure, the levels of authority and program responsibilities need to be understood. They can serve as clues to the existence and location of records within the agency. The following matters should be considered:

- Which are the key line and staff offices?
- What programs does the agency have?
- What units are responsible for developing policies?
- What units are charged with carrying out policies?
- What is the nature of staff support activities?

Equally important is a prior knowledge of the agency or department filing systems. The following questions need to be answered:

- Is there a prescribed agency wide filing system? If so, how widely is it used?
- Is there a prescribed file classification system?
- Is there a central file? Does it operate as planned? At what levels?
- Is there an automated records management system or document management system in use by the agency.
- Where is essential documentation likely to be?

RECOMMENDED INVENTORY FORMAT

The records inventory worksheet recommended is illustrated in Figure 3. This form is available from the Records Management Division, Arizona State Library, Archives and Public Records. The form can be used for either a physical inventory or as a questionnaire. It should be filled out completely and correctly as it will be the basis for any proposed retention and disposition schedules

²ARMA International, Overview of Records and Information Management, 1985.

RECORDS INVENTORY WORKSHEET	
AGENCY:	DIVISION:
SUB-ORG. UNIT:	CONTACT NAME:
RECORD SERIES NAME:	
<input type="checkbox"/> Official Copy <input type="checkbox"/> Info. Copy	
RECORDS MEDIUM:	
<input type="checkbox"/> Paper <input type="checkbox"/> Microfilm <input type="checkbox"/> Electronic/Computer <input type="checkbox"/> Electronic Image	
DESCRIPTION (IF NAME IS NOT DESCRIPTIVE):	
INCLUSIVE DATES IN FILE:	
From _____ Through _____	
RECORD(FILE) CUT-OFF:	
<input type="checkbox"/> After Calendar Year <input type="checkbox"/> After Fiscal Year <input type="checkbox"/> After Event (case completion; project completion; etc.)	
VOLUME OF RECORDS (SELECT ONE):	
_____ cubic feet _____ lineal inches _____ file drawers	
USE FREQUENCY OF RECORDS:	
current year _____ ref./month 2 thru 5 years old _____ ref./month	
past year _____ ref./month over 5 years old _____ ref./month	
RETENTION:	
Legal Requirement: _____ years after _____ Citation _____	
Office Recommendation _____ years after _____	
Current retention from approved schedule _____ years after _____	
ELECTRONIC/COMPUTER MEDIA ONLY:	
Operating system: _____	
Application program: _____	
Data format: _____	
COMMENTS:	

RMC-9 R3/98

Figure 3

Chapter 3 – Records Evaluation / Appraisal

EVALUATION / APPRAISAL

Evaluation is a term used by records managers to determine the retention value of various record series. The information gathered in the records inventory is used to evaluate the records for determining retention periods. Evaluation for retention periods is based on:

- Statutory or regulatory requirements
- Audit requirements
- Practical need or value

Statutory or regulatory requirements for specific records retention periods are infrequent. Statutes and regulations are sometimes geared toward actions rather than records. Records retention may be inferred, however, by the need to provide evidence of a particular action. When a statute or regulation is being cited as the basis for a retention period, the specific statute or regulation must be indicated on the records inventory and on the subsequent retention schedule.

Audit requirements usually apply only to financial or fiscal records. These requirements are most often limited to retention for three to five years. Federal requirements are almost always listed in the Code of Federal Regulations (CFR) and are therefore also regulatory requirements. Do not assume retention periods based on what an individual auditor wants. This determination should be made only by the auditing authority.

Practical need is determined by specific values:

- **Administrative value.** Records which help or document administrative activities have administrative value. Retention can vary greatly on these records depending on just what the records document. Many documents at operational levels are actually non-records by definition because they are duplicates of record copies and/or they are working papers which are summarized into higher level records.
- **Evidential value** refers to records which provide evidence of an agency's organizational structure and functions. They include policies, directives, board minutes, organizational documents, etc. Most of these records have long term or archival value. Fortunately, these are a very small percentage of an agency's records.
- **Informational value** is based on the information contained in the records. Informational value usually decreases with time. Informational value can most often be determined by studying the use of the record series over a period of time.

APPRAISAL OF PERMANENT / ARCHIVAL RECORDS

The Arizona History and Archives Division identifies, collects, preserves and provides access to state and local government records of Arizona, for the purposes of retaining evidence about public policies and programs, providing protection or verification of individual's rights, and maintaining information about noteworthy people, issues, places and events that make up the story of Arizona's history.

Appraisal is a term used by archivists meaning the assessment of the records for historical value. The appraisal criteria used by archivists include:

- Who created the record.
- How the records were used.
- What information is contained in the record.
- Who might use the records in the future.

These records are usually considered for "permanent" retention at the State Archives.

"Permanent", as used by records managers and archivists, literally means forever, and records with this value are relatively rare. Records archival value usually comprise three to five percent of the total of all government records. Frequently original copies of evidential records are of archival value. These include:

1. Board Minutes of boards, commissions and committees established by statute, resolution, proclamation or ordinance
2. Original or "official" copies of formal policy directives
3. One copy of the agency annual reports
4. Original copy of organizational documentation including charts
5. Records documenting a historic or "land-mark" event

The archivists at the History and Archives Division welcome the opportunity to appraise agency records. Please call 602-542-4159 to arrange for a professional appraisal.

Arizona law A.R.S. §39-101 prescribes the materials and storage conditions required for permanent public records and prescribes the penalty for non-compliance.

DETERMINING RECORDS RETENTION

The evaluation process is used to determine the retention period best suited to a record series. No record should be destroyed while it still has significant value. On the other hand, no record should be retained after its value has been exhausted.

Records should never be retained only because "someone might need them someday." Maintaining

records uses valuable resources and is costly — only records of value should be maintained.

Most records are kept for informational value. Usually, informational value decreases as time passes. A "typical" record will have most of its informational value immediately after its receipt or creation. This value then drops off or decreases over a period of time.

Ultimately, the determination of government records retention periods is the responsibility of the Arizona State Library, Archives and Public Records (A.R.S. §§41-1347 and 41-1351).

SCHEDULING RECORDS

The primary objective of the records inventory and records evaluation is to provide the data necessary to produce records retention and disposition schedules. These schedules are simply timetables that identify the length of time records must be kept in active and inactive status prior to final disposition.

A records retention and disposition schedule describes the life-cycle of specific record series. It is a reference and a management tool to be used to prescribe the time to retire records to inactive status and eventually the time to destroy or otherwise dispose of the records. A.R.S. §41-1346 requires that each state and local agency submit proposed retention and disposition schedules to the Arizona State Library, Archives and Public Records.

Records Retention and Disposition Schedules are best developed along organizational lines, with schedules written for specific organizational units. Organizationally-based schedules facilitate both transfer of inactive records to an inactive records center and final destruction of old records.

Retention schedules should be reviewed at least every 2 years and revised as needed. Since public laws, regulations and office operations are constantly revised, improvements in equipment and work methods become necessary. The information resources of public agencies must adapt to respond to these changes. Revisions to retention schedules may be initiated by either agency management or the Arizona State Library, Archives and Public Records.

COMMUNITY COLLEGES AND DISTRICT RECORDS CENTER

As political subdivisions, Arizona community colleges and districts may establish their own central records centers. A records center is usually a facility designed and used to house inactive records in a controlled but inexpensive environment. Any municipality operating or planning for a records center is welcome to call Arizona State Library, Archives and Public Records for free advice or consultation at 602-542-3741

Chapter 4 - Standardized Retention Schedules for Arizona Community Colleges and Districts

STANDARDIZED SCHEDULES

This chapter contains records retention and disposition schedules for most community colleges and district functions. The schedules are organized alphabetically by the title of the function:

- All – Office Administration
- Admissions/Records
- Curriculum Office
- District Information/Marketing
- District Management
- EEO/Affirmative Action
- Facilities/Buildings Management
- Financial Aid
- Fiscal/Business Operations
- Fleet Services/Motor Pool
- Food services/Student Activities
- Human Resources/Personnel
- Information Technology
- Institutional Research
- Library
- Public Safety
- Purchasing/Procurement

These records retention and disposition schedules were originally developed from schedules submitted by various community colleges and districts.

LEGAL APPROVAL

The following retention and disposition schedules have been approved by the Director, Arizona State Library, Archives and Public Records pursuant to ARS §41-1347 and 41-1351. These schedules have also been reviewed by the Auditor General's Office for compliance with audit requirements.

These schedules shall be used by all Arizona community colleges and districts. Records destroyed in accordance with these schedules must be reported to the Arizona State Library, Archives and Public Records on a *Report of Records Destruction*. This procedure is described in Chapter X.

FOLLOWING RETENTION SCHEDULES

The retention periods for the records series in these schedules must be followed carefully and faithfully. The retention and disposition schedules comprise an approved routine records program so long as they are followed.

There is no danger of being accused of destroying documentary evidence if the schedules are followed carefully and not selectively. ***Records must never be destroyed for the purpose of eliminating***

potentially damaging evidence. On the other hand, the courts have recognized that records destroyed in the course of normal business and through a documented records retention program are legitimately not available if requested past their scheduled destruction date.

Records retention and disposition schedules DO NOT preempt good judgement. Records required for legal discovery or ongoing audit purposes beyond the prescribed retention must be maintained until cleared by the appropriate authority before destruction. Contact the Records Management Division whenever records are required because of a law suit, special or ongoing audit or criminal investigation.

Records subpoenaed or otherwise required by the court, pertinent to current or pending litigation or currently subject to audit should not be destroyed even if the approved schedule indicates they could be.

Similarly, if you believe records should be kept beyond their retention period because they have historical or archival value, contact Records Management Division to request an extension.

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 4****ALL ARIZONA COMMUNITY COLLEGES**

Function:

All – Office Administration

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
	<p>Note: "Office Administration" records are those administrative records that may be found in any organizational unit office.</p>					
1	<p>General correspondence (not related to a specific case or project)</p> <p>a. Official copy (signed original or a copy of the signed original)</p> <p>b. Final draft of maintained on a computer hard disk or server (non-record copy maintained for convenience)</p> <p>c. Earlier drafts</p> <p>NOTE: General correspondence covers a very wide variety of subjects from wide variety of authors. Some of these materials may have long term or historical value. Contact History and Archives Division if you wish a professional archival appraisal of any of these documents.</p>				<p>2 After created or received</p> <p>3mo After official copy created</p> <p>- After superseded</p>	
2	<p>E-mail:</p> <p>a. Records* (including sender and receiver identification, time and date sent and received, and complete message) preserved and retained on a PC or server using appropriate software</p> <p>b. . Records* (including sender and receiver identification, time and date sent and received, and complete message) printed to paper and preserved and retained in that form</p> <p>c. Records* sent as attachments to e-mail</p>				<p>- Retain for the same length of time as required for other forms of the record</p> <p>- Retain for the same length of time as required for other forms of the record</p> <p>- Retain for the same length of time as required for other forms of the record</p>	
<p>Supersedes Schedule Dated: April 26, 2000</p>						

Approved by:

X Gladys Ann Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 15, 2002

November 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 2 of 4**

ALL ARIZONA COMMUNITY COLLEGES		Function: All – Office Administration				
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)		REMARKS	
			Off.	R.C.	Total	(Include start point of retention.)
	d. Routine non-record communications				3mo	of after informational value is served, whichever is sooner
	e. E-mail server backups				1mo	After date backup was run
	f. E-mail user directories and distribution lists				-	Maintain current
	* Meeting the requirements of the definition of a record pursuant to A.R.S. §41-1350					
3	Transitory materials including correspondence of limited reference value, transmittal letters and informational bulletins (paper and/or electronic media)				3mo	After created or received
4	Appointment calendars (paper and/or electronic media)				1	After calendar year created
5	Reference materials including duplicate files or documents, periodicals, catalogs, published reports, etc. (non-records)				3	Or after informational value has been served whichever is sooner
6	Working documents including notes, drafts, feeder reports, etc. used in the development of final or summary records (paper and/or electronic media)				-	After completion of the final record
7	Progress/activity reports (except official agency annual report) including weekly or monthly reports to supervisors and managers					
	a. Reports containing statistics useful for trend analysis and not carried forward to subsequent reports				10	After fiscal year created or received
	b. Reports not containing useful statistics or containing statistics carried forward to subsequent reports				1	After fiscal year created or received
						Supersedes Schedule Dated: April 26, 2000
Approved by: X Gladys Ann Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 15, 2002

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RECORDS RETENTION AND DISPOSITION SCHEDULE

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ALL ARIZONA COMMUNITY COLLEGES				Function: All – Office Administration		
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
8	Office internal administration records including work procedures, office assignments, work schedules, etc. (paper and/or electronic media)				3	After revised or discontinued
9	Logs, telephone message logs, sign-in sheets, etc. (paper and/or electronic media)				1	After last entry date
10	Employee time and leave records (unit of assignment copy only) including leave request documents and time sheets Paper and/or electronic media				1	After calendar year created
11	Financial documents (office copies only) including requisitions, purchase orders, claims, travel claims, invoices, cash receipts, petty cash, etc. (paper and/or electronic media)				1	After fiscal year created or received
12	Expense accounting records (original or record copies only; under \$1,000)				3	After fiscal year prepared or received
13	Voice mail				-	Erase or otherwise destroy messages following taking required action
14	Voice mail backup				1mo	After date backup is run
15	Employee personnel files (supervisors copy)				6mo	After termination of service or transfer
16	Reports of records destruction				2	After fiscal year created (official copy on file with Az. State Library)
17	Approved requests for imaging (pursuant to A.R.S.§41-1348)				1	After renewed or program terminated
Supersedes Schedule Dated: April 26, 2000						
Approved by: X Gladys Ann Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 15, 2002

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RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 4 of 4****ALL ARIZONA COMMUNITY COLLEGES**

Function:

All – Office Administration

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
18	Final reports of consultants, special committees, task forces, etc. a. Resulting in a program or project b. Not resulting in a program or project				- 2	File with the program or project file After report submitted
19	Special program or project files				3	After fiscal year program or project completed
20	Audit reports (office and district copies)				5	After fiscal year prepared
						Supersedes Schedule Dated: April 26, 2000
Approved by: X Gladys Ann Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 15, 2002

November 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 3****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Admissions/Records

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Data entry documents used only as a source for entering data into an automated system.(i.e., applications for admission, name changes, address changes, registration transaction forms, etc.)				-	After verification of data entered
2	Student records (academic file) (paper and/or electronic media)including admissions application; immunization; name changes; grade changes; student data changes; academic transcript (current); registration; degree check; transcripts from other institutions; evaluation of prior training; military discharge; other evaluation or comment; class changes, registration transactions; advance placement records; credit by exam; out of county affidavits, domicile affidavits(residency records) International student records include, in addition to above, I20 immigration form; financial guaranty; TOEFL scores; student academic progress; student status				3	After academic year of last attendance (This meets the requirements for FFEL 34 CFR 668.24)
3	Veterans (G.I. Bill) student records including in addition to the above, V.A. application; certifications; status changes; degree plans; work sheets				3	After year of last attendance
4	Permanent record including academic transcript; graduation documents; admission application				Perm	Preserve pursuant to A.R.S. §39.101, <i>Permanent Records Media and Storage Standards</i>
5	Catalog (single record copy)				Perm	Preserve pursuant to A.R.S. §39.101, <i>Permanent Records Media and Storage Standards</i>
Supersedes Schedule Dated: April 26, 2000						

Approved by:

X Gladys Ann Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 15, 2002

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RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 2 of 3
ALL ARIZONA COMMUNITY COLLEGES

Function:

Admissions/Records

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
6	Class schedules				2	After end of semester
7	Class lists				1	After academic year created
8	Class rosters				1	After fiscal year created
9	45 day census: a. Paper copies b. and/or Microfiche (COM) copies c. and/or Electronic (computer) record				1 5 3	After academic year created After academic year created After academic year created (If no microfiche copy, retain for 5 years.)
10	Final grade rosters a. "Official" copy b. Any other copies if they exist				Perm 3	Preserve pursuant to A.R.S. §39.101, <i>Permanent Records Media and Storage Standards</i> After prepared
11	Additional census reports				3	After fiscal year created
12	Non-enrolled applicant records including applications, test scores and other supporting documents				1sem	After created or received
13	Athletic eligibility records				3	After last semester attended
14	Credit/no credit approvals				1	After input to student record
15	Unclaimed diplomas				1	After attempted student contact
16	Graduation program records				1	After prepared or received
17	Deferred registration				-	After satisfied
18	Honors list				1sem	After created
19	State aid requests				3	After fiscal year created
Supersedes Schedule Dated: April 26, 2000						

Approved by:

X Gladys Ann Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 15, 2002

November 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 3 of 3****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Admissions/Records

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
20	Equalization aid requests				3	After fiscal year created
21	Request for additional capital outlay appropriation				3	After fiscal year created
22	Final state aid report				3	After fiscal year created
23	Enrollment analysis report				3	After fiscal year created
24	Master schedule of classes				3	After fiscal year created
25	Transcript requests				1mo	After request filled
26	Enrollment verifications					After issued
27	Student class audit reports				2	After fiscal year created
28	Student academic progress reports				3	After fiscal year created
						Supersedes Schedule Dated: April 26, 2000

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X Gladys Ann Wells

Director, Arizona State Library, Archives and Public Records

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RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 1****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Curriculum Office

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Curriculum history files				Perm	Consider microfilm after course is discontinued
2	College curriculum council minutes				3	After calendar year prepared
						Supersedes Schedule Dated: April 26, 2000
Approved by: X Gladys Ann Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 15, 2002

November 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 1****ALL ARIZONA COMMUNITY COLLEGES**

Function:

District Management

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Minutes of the CCD governing board (including agendas): a. Record copy of transcribed minutes b. Audio recordings c. Executive sessions (confidential)				Perm 3mo 3	After transcribed After calendar year prepared
2	Minutes of advisory committees, boards, commissions, panels, etc.				3	After calendar year prepared
3	District policies (approved by board) [official copy only]				Perm	
4	Regulations supporting policies [official copy only]				Perm	
5	Standard Practice Guides supporting regulations [official copy only]				10	After approved
6	Legal files (litigation)				3	After case closed, settled or adjudicated
7	Intergovernmental agreements (IGAs)				3	After canceled, suspended or expired
8	Legislation files including case files for proposed legislation				1	After passed into law or defeated and abandoned
						Supersedes Schedule Dated: April 26, 2000
Approved by: X Gladys Ann Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 15, 2002

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RECORDS RETENTION AND DISPOSITION SCHEDULE

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ALL ARIZONA COMMUNITY COLLEGES

Function:

EEO/Affirmative Action

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Training: a. Training workshop files including rosters, copies of content, etc. b. Specialized training records				2 3	After calendar year workshop given After calendar year training given
2	Internal complaints				5	After calendar year of complaint
3	ADA accommodation requests: a. Employees b. Students				2 2	After termination of employment After last academic year of enrollment
4	Monitoring of employment activity including applicant tracking				3	After calendar year created
<p>NOTE: Some EEO records are listed on the Human Resources schedule.</p>						
						Supersedes Schedule Dated: April 26, 2000

Approved by:

X Gladys Ann Wells

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November 15, 2002

November 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 3****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Facilities/Building Management

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
	Plant Operations:					
1	Work Orders:					
	a. Preventative maintenance				3	After expiration of PM agreement
	b. Charge-backs				3	After fiscal year created
2	Preventative maintenance schedules				-	After equipment disposed of
3	Key requests				3	After calendar year of request
4	Key register				3	After revised
5	Key locator				1	After revised
6	Key codes				1	After revised
7	Customer care cards				1	After fiscal year created
8	Daily time cards				3	After fiscal year created
9	Employee locator records				1	After revised
10	Accident reports – industrial injuries				5	After calendar year reported (29 CFR 1952.4; 29 CFR 1904.6)
11	Safety meeting schedules				5	After calendar year of schedule
12	Safety inspection reports				5	After calendar year completed
13	Capital equipment inventory:					
	a. Annual listing (printout)				3	After fiscal year produced
	b. Equipment files (\$5,000 or more original purchase)				3	After fiscal year of disposal of equipment
14	Plans (original as-built)				-	After facility is disposed of. If facility is sold, transfer plans to buyer.
Supersedes Schedule Dated: April 26, 2000						
Approved by:						Approval Date:
X Gladys Ann Wells						
Director, Arizona State Library, Archives and Public Records						November 15, 2002

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RECORDS RETENTION AND DISPOSITION SCHEDULE

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ALL ARIZONA COMMUNITY COLLEGES				Function: Facilities/Building Management		
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
15	Specifications				-	After facility disposed of. If facility is sold transfer to buyer.
16	Operation and maintenance schedules				1	After revised
17	Warranties				3mo	After expiration
18	Lease agreements (copies)				-	After expiration. Official copy at procurement office.
19	CFC (chloro-floro-carbons) inventory				3	After superseded (40 CFR 82.166)
20	HVAC balance reports				3	After calendar year created
21	Boiler inspection certificates				3	After date of subsequent inspection
22	Elevator inspection reports				5	After date of inspection
23	Elevator certificates				5	After superseded, or elevator replaced or abandoned
24	County Air pollution certificates				1	After renewed
25	Expendable supply inventory				-	Maintain current, purge old information
26	Hand tool inventory				-	Maintain current
27	Inventory stock record				-	Maintain current, purge old information
28	Operating logs; boiler, chiller, water treatment, etc.				2	After calendar year
29	Custodial procedures and specifications				1	After revised
30	Emergency on-call roster				-	Maintain current
31	Facility requests				1	After fiscal prepared
						Supersedes Schedule Dated: April 26, 2000
Approved by: X Gladys Ann Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 15, 2002

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RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 3 of 3****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Facilities/Building Management

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
32	Uniform and safety shoe issue record				3	After uniforms returned or otherwise accounted for
33	Work shift schedules				3	After fiscal year prepared
	Environmental Health:					
34	Wastewater permits				3	After calendar year received
35	ADEQ and EPA identification number				3	After calendar year received
36	EPA hazardous waste generator:					
	a. Unsigned manifests				3	After date of manifest or until a signed copy is received (40 CFR 262.40)
	b. Signed manifests				3	After date waste was accepted by initial transporter (40 CFR 262.40)
	c. Biennial and exception reports				3	After date of report (40 CFR 262.40)
	d. Records of test results, waste analyses, or other determinations				3	After date waste was last sent for treatment, storage or disposal (40 CFR 262.40)
37	Material data safety sheets				-	After superseded
38	Safety training documentation				-	Place in personnel file
						Supersedes Schedule Dated: April 26, 2000

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X Gladys Ann Wells

Director, Arizona State Library, Archives and Public Records

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RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 1****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Financial Aid

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Financial aid files (all students who apply under any financial aid program)				3	After academic year of last attendance (This meets the requirements for FFEL, 34 CFR 668.24)
2	Fiscal operations report and application to participate (FISAP)				3	After award year in which it was submitted
3	Student ledgers/reports				3	After fiscal year prepared
4	Financial aid detail report				10	After fiscal year prepared
5	Annual fiscal operations report				3	After fiscal year prepared
6	Program audit records				3	After fiscal year prepared
7	Bank reconciliations				3	After fiscal year prepared
8	Collection agency reports: a. Monthly b. Annual				- 3	After next report received After fiscal year prepared
9	Summary of outstanding loans: a. Monthly b. Annual				- 3	After next report received After fiscal year prepared
10	Account receivable files, aging reports and transactions				3	After fiscal year prepared
11	Scholarship listings				3	After fiscal year prepared
						Supersedes Schedule Dated: April 26, 2000

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X Gladys Ann Wells

Director, Arizona State Library, Archives and Public Records

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November 15, 2002

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RECORDS RETENTION AND DISPOSITION SCHEDULE

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ALL ARIZONA COMMUNITY COLLEGES				Function: Fiscal/Business Operations		
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
	Budgeting:					
1	Adopted budget (Fiscal operations copy)				3	After fiscal year prepared
2	Notice of budget hearing				3	After fiscal year prepared
3	Affidavit of publication				3	After fiscal year prepared
4	Annual budgeted expenditure limitation report				3	After fiscal year prepared
5	Documentation supporting budget estimates				3	After fiscal year prepared
6	Budget revision documentation				3	After fiscal year prepared
7	Internal budget reports				3	After fiscal year prepared
	Accounting Records:					
8	Journal entries				10	After fiscal year prepared (per ADOR)
9	General journal				10	After fiscal year prepared (per ADOR)
10	Special journals				10	After fiscal year prepared (per ADOR)
11	Subsidiary ledgers				10	After fiscal year prepared (per ADOR)
12	General ledger (single annual record copy)				Perm	
13	Trial balances				3	After fiscal year prepared
						Supersedes Schedule Dated: April 26, 2000
Approved by: X Gladys Ann Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 15, 2002

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RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 2 of 10****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Fiscal/Business Operations

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S.	RETENTION (YR.)			REMARKS (Include start point of retention.)
		Code	Off.	R.C.	Total	
	Unclaimed Property Records:					
14	Un-cashed payroll checks/warrants				10	After date issued (per ADOR)
15	Un-cashed payment checks/warrants				10	After date issued (per ADOR)
16	Unclaimed property reports required per A.R.S. §44-307				5	After date report is filed (A.R.S. §44-323)
17	Supporting documentation not previously listed				5	After date report is filed (A.R.S. §44-323)
	Cash Records:					
18	Lists of bank accounts				3	After fiscal year prepared
19	Daily cash receipts summaries				3	After fiscal year prepared
20	Ticket sales summaries				3	After fiscal year prepared
21	Pre-numbered cash receipts				3	After fiscal year prepared
22	Cash register tapes				3	After fiscal year prepared
23	Voided transaction documents				3	After fiscal year prepared
24	Mail receipt lists				3	After fiscal year prepared
25	Validated bank deposit slips				10	After fiscal year prepared (per ADOR)
26	Daily cash register reconciliation report				3	After fiscal year prepared
27	Accounts receivable aging schedules				3	After fiscal year prepared
28	NSF checks and related documents				3	After fiscal year prepared
29	Cash refund documents				3	After fiscal year prepared
						Supersedes Schedule Dated: April 26, 2000
Approved by: X Gladys Ann Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 15, 2002

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RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 3 of 10****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Fiscal/Business Operations

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
30	List of authorized check signers				3	After fiscal year prepared
31	Disbursement vouchers				3	After fiscal year prepared
32	Voucher supplements				3	After fiscal year prepared
33	Expense accounting records including requisitions, purchase orders, claims, demands, vouchers, vendor invoices, receiving documents, etc.: a. Capital expenses exceeding \$5000 for land, buildings and improvements; \$1000 for vehicles, furniture and equipment b. All others				3	After disposal of asset
					3	After fiscal year prepared
34	Petty cash records				3	After fiscal year prepared
36	Check registers				10	After fiscal year prepared (per ADOR)
37	Bank reconciliations				10	After fiscal year prepared (per ADOR)
38	Bank statements & canceled checks				10	After fiscal year prepared (per ADOR)
	Plant Assets:					
39	Property control master list				1	After fiscal year superseded
40	Capitalization policy				1	After fiscal year revised or updated
41	Fiscal year-end plant assets lists				3	After fiscal year prepared
42	Acquisitions lists				3	After fiscal year prepared
43	Disposals lists				3	After fiscal year prepared
44	Construction-in-progress lists				3	After fiscal year prepared
						Supersedes Schedule Dated: April 26, 2000

Approved by:

X Gladys Ann Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

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RECORDS RETENTION AND DISPOSITION SCHEDULE

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ALL ARIZONA COMMUNITY COLLEGES				Function: Fiscal/Business Operations		
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
45	Reconciliations of capital expenditures to capital acquisitions				3	After fiscal year prepared
46	Property control records:					
	a. Titles to assets (vehicles, etc.)				-	After fiscal year asset disposed of
	b. Disposition documents (sales, trade-ins, catastrophic loss, etc.)				3	After fiscal year prepared
	c. Lost/stolen reports				3	After fiscal year prepared
	d. Transfer documents				3	After fiscal year prepared
	e. Disposal authorization				3	After fiscal year disposal completed
47	Physical inventory records:					
	a. Plant assets				3	After fiscal year prepared
	b. Supplies inventories				3	After fiscal year prepared
48	Insurance files				3	After fiscal year of policy expiration
49	Depreciation schedules				1	After fiscal year revised or updated
50	Auction/sale files				3	After fiscal year prepared
51	Annual property control reports				2	After fiscal year prepared
52	Warranty records				-	After fiscal year expired or property disposed of
	Payroll:					
53	Employers copies of required IRS forms including W-4				3	After calendar year prepared (Rev. Proc. 84-77)
54	Voluntary deduction records				4	After calendar year contribution made
55	Employee status changes				3	After calendar year prepared
56	State retirement system applications				-	File in employee personnel file
						Supersedes Schedule Dated: April 26, 2000
Approved by: X Gladys Ann Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 15, 2002

November 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 5 of 10****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Fiscal/Business Operations

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
57	Employee time and leave records				3	After fiscal year prepared (29 CFR 516.6)
58	Direct deposit requests				3	After canceled or superseded
59	Payroll registers (gross to net)				4	After calendar year prepared (26 CFR 31.6001-1)
60	Earning summaries: a. Annual				4	After calendar year prepared (26 CFR 31.6001-1)
					1	After calendar year created
61	Cancelled payroll checks; copies of direct deposit slips				5	After fiscal year received or prepared
62	Payroll distribution reports				6wks	After end of pay period
63	Payment exception reports				3	After fiscal year prepared
64	Documentation supporting remittances of employee withholdings and employer contributions				4	After calendar year prepared (26 CFR 31.6001-1)
65	W-3 transmittal of wages and tax records to Social Security Admin.				4	After calendar year
66	W-2 records or remuneration paid to employees				4	After the date due of such tax for the return period (26 CFR 31.6001-1)
67	Undeliverable W-2 withholding statements (all copies)				4	After the date due of such tax for the return period (26 CFR 31.6001-1)
68	Records of transmittal of withholding to IRS and AZ. Dept. of Revenue				4	After calendar year of transmittal (26 CFR 31.6001-1)
69	Employee benefit files including group insurance				6	After termination of employment (29 USC 1113)
						Supersedes Schedule Dated: April 26, 2000

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X Gladys Ann Wells

Director, Arizona State Library, Archives and Public Records

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November 15, 2002

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RECORDS RETENTION AND DISPOSITION SCHEDULE

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ALL ARIZONA COMMUNITY COLLEGES				Function: Fiscal/Business Operations		
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
70	Misc. deduction register				2	After fiscal year prepared
71	Work study reports				3	After fiscal year prepared
	Travel:					
72	Travel requests (approved)				3	After fiscal year prepared
73	Travel advance records				3	After fiscal year prepared or received
74	Travel claims				3	After fiscal year prepared
	Sponsored Programs:					
	<i>Note: Retain records per the terms of the specific contract/grant award; or by the total below if no retention period is stated in the contract/grant award.</i>					
75	Program budgets				3	After termination of program
76	Program proposal				3	After termination of program
77	Award document				3	After termination of program
78	Acceptance document				3	After termination of program
79	Program agreement/contract (including reports of changes)				6	After termination of program
80	Letter of credit				3	After termination of program
81	Request for advance				3	After termination of program
82	Request for reimbursement				3	After termination of program
						Supersedes Schedule Dated: April 26, 2000
Approved by: X Gladys Ann Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 15, 2002

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RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 7 of 10****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Fiscal/Business Operations

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
83	Report of expenditures incurred				3	After termination of program
84	Report of monies received				3	After termination of program
85	Matching share agreements (contracts)				6	After termination of program
86	Documents supporting valuations of in-kind contributions (including time summaries, cost documentation, depreciation schedules, lease agreements)				3	After termination of program
87	Program procedures				3	After termination of program
88	Reports of cash transactions				3	After termination of program
89	Reports of financial status of programs				3	After termination of program
90	Summary of progress and findings				3	After termination of program
91	Statement of indirect costs				3	After termination of program
92	Detailed cost summaries				3	After termination of program
93	Indirect cost proposals				3	After termination of program
94	Indirect cost formulas				3	After termination of program
95	Program audit reports (by sponsors)				5	After fiscal year received
96	Grant files not related to federally funded projects and non-renewable grants				3	After fiscal year of final voucher payment (Confirm with specific requirements of funding agency.)
97	Grant files related to Federally funded continuing projects and renewable grants				3	After fiscal year of final voucher payment (Confirm with specific requirements of funding agency.)
Supersedes Schedule Dated: April 26, 2000						
Approved by: X Gladys Ann Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 15, 2002

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RECORDS RETENTION AND DISPOSITION SCHEDULE

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ALL ARIZONA COMMUNITY COLLEGES				Function: Fiscal/Business Operations		
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
	Auxiliary Enterprises and Services:					
98	Fee schedules and price lists				3	After fiscal year revised
99	Credit and refund policies /procedures				3	After fiscal year revised
100	Balance sheets				3	After fiscal year prepared
101	Statement of revenues, expenditures and changes in fund balance				3	After fiscal year prepared
102	Statement of changes in financial position				3	After fiscal year prepared
103	Statement of fees charged and expenditures incurred				3	After fiscal year prepared
	Financial Statements:					
104	Audited financial statements (formerly balance sheets, statements of changes in fund balances, statements of current funds, notes to financial statements)				3	After fiscal year prepared
105	Requests for extension of time to file statements				3	After fiscal year prepared
	Financial Policy Documents:					
106	Trial balances (also item 13)				3	After fiscal year prepared
107	Schedules of all bank accounts				3	After fiscal year prepared
108	Bank account reconciliations (also item 37)				10	After fiscal year prepared
109	Schedules of cash on deposit with the County Treasurer				3	After fiscal year prepared
						Supersedes Schedule Dated: April 26, 2000
Approved by: X Gladys Ann Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 15, 2002

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RECORDS RETENTION AND DISPOSITION SCHEDULE

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ALL ARIZONA COMMUNITY COLLEGES				Function: Fiscal/Business Operations		
Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.						
No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS
			Off.	R.C.	Total	(Include start point of retention.)
110	Schedules of all bank transfers				3	After fiscal year prepared
111	Schedules of all district held investments				3	After fiscal year prepared
112	Schedules of all trustee held investments				3	After fiscal year prepared
113	Schedules of inter-fund payables and receivables				3	After fiscal year prepared
114	Schedule of receivable taxes				3	After fiscal year prepared
115	Schedules of accounts receivables and similar assets				3	After fiscal year prepared
116	Schedules of prepaid expenses				3	After fiscal year prepared
117	Schedules of student loans receivable				3	After fiscal year prepared
118	Schedules of allowances for uncollectable student loans				3	After fiscal year prepared
118	Schedules of accounts payable and similar liabilities				3	After fiscal year prepared
119	Schedules of inter-fund transfers				3	After fiscal year prepared
120	Schedules of all accrued payroll and employee benefits expenses				3	After fiscal year prepared
121	Schedules of contributions to Az. State Retirement System				3	After fiscal year prepared
122	Schedules of accumulated employee leave and compensatory time				3	After fiscal year prepared
123	Schedules of contingent liabilities				3	After fiscal year prepared Supersedes Schedule Dated: April 26, 2000
Approved by: X Gladys Ann Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 15, 2002

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RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 10 of 10****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Fiscal/Business Operations

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
124	Schedules of sponsored programs				3	After fiscal year prepared
125	Schedules of insurance coverage in force				3	After fiscal year prepared
126	Schedules of general obligation bonds payable				3	After fiscal year prepared
127	Schedules of revenue and refunding bonds payable				3	After fiscal year prepared
128	Schedules of irrevocable trust activity				3	After fiscal year prepared
129	Schedules of capital, installment purchases and operating lease agreements				3	After fiscal year prepared
130	Lists of all adjusting journal entries				3	After fiscal year prepared
131	Schedule of full time student equivalents				3	After fiscal year prepared
132	Chart of accounts				3	After fiscal year prepared
133	Organizational charts (Finance copy)				3	After fiscal year prepared
134	Summary of related party transactions				3	After fiscal year prepared
135	Journal entries and supporting documents (also item 8)				10	After fiscal year prepared
136	District accounting policies and procedures (Finance copy)				3	After fiscal year updated or revised
						Supersedes Schedule Dated: April 26, 2000

Approved by:

X Gladys Ann Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 15, 2002

November 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 1****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Fleet Services/Motor Pool

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Vehicle requests				3	After fiscal year prepared
2	Vehicle scheduling logs				3	After fiscal year of log
3	"Permanent" vehicle assignment lists				3	After superseded or updated
4	Drivers license copies				-	After superseded or employee terminates
5	Credit card assignment log				3	After superseded or updated
6	Vehicle titles				-	After vehicle is disposed of
7	Daily mileage logs				1	After fiscal year prepared
8	Vehicle accident reports				5	After calendar year of accident
9	Vehicle maintenance records				-	After vehicle disposed of
10	Alternate fuels usage reports (natural gas, LPG, ethanol, etc.)				3	After calendar year created
11	Travel reduction program annual activity report				3	After calendar year created
12	Travel reduction program audit report				3	After calendar year of report
13	Vehicle charge-back records including mileage logs, vehicle requests, rental invoices, changes to requests, fuel receipts, etc.				3	After fiscal year prepared or received
						Supersedes Schedule Dated: April 26, 2000

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X Gladys Ann Wells

Director, Arizona State Library, Archives and Public Records

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November 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 2****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Human Resources/Personnel

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Employee personnel files: a. Official files including loyalty oaths and employee related correspondence b. Supervisor's work file				3 6mo	After calendar year of termination of district service (29 CFR 1627.3) After termination or transfer
2	Employee personnel summary (paper or electronic media)				10	After calendar year of termination (There is no requirement to maintain this record series.)
3	Statistical listings of employees				-	Dispose of after superseded
4	Position descriptions				3	After superseded or position abolished
5	Classification or reclassification of positions				3	After request is acted on
6	Employee grievance files				3	After grievance action resolved
7	Employee training files including attendance lists, class outlines, etc.				3	After date training is given (A record of class completion may be placed in the employee personnel file.)
8	Employee tuition refund program records				3	After fiscal year refund is issued.
9	Occupational safety and health records including accident reports and annual summaries				5	After calendar year reported (29 CFR 1952.4; 29 CFR 1904.6)
10	Accident prevention programs including lists of first aid and CPR trained staff				1	After superseded
11	Employee medical and exposure records including lists of hazardous materials exposed to, pre-employment physicals, etc.				30	After termination of employment (29 CFR 1910.20) <i>These records must be retained separately from the employee personnel file.</i>

**Supersedes Schedule Dated:
April 26, 2000**

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X Gladys Ann Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 15, 2002

November 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 2 of 2****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Human Resources/Personnel

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
12	Group insurance records including contracts				6	After termination of contract
13	Reduction in force records including computation documents and recap. summaries				5	After RIF (lay-off) is completed
14	EEO-4 including background information				3	After prepared (29 CFR 1602.30)
15	Hiring records including requisition, application, selection, promotion and interview records				2	After calendar year received or prepared (29 CFR 1602.31)
16	Merit/civil service system board minutes (Human Resources copy)				3	After calendar year prepared
17	Form I-9 (Proof of legal residency in U.S.A.)				1	After employee terminates employment, but not less than 3 years after date of hire (8 CFR 274a.2)
18	Employment contracts:					
	a. Faculty and staff				3	After fulfilled or canceled (29 CFR 516.6)
	b. Work-study				3	After fulfilled or canceled (29 CFR 516.6)
19	Grievance files				3	After case resolved
20	Payroll time and leave records				-	See Fiscal/Business Operations schedule and All – Office Administration schedule
21	Salary schedules				1	After revised
Supersedes Schedule Dated: April 26, 2000						

Approved by:

X Gladys Ann Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 15, 2002

November 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 1****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Information Technology

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Systems backup:					
	a. Full backup (weekly)				1mo	After date of backup (suggested retention)
	b. Incremental/transaction backup (daily)				1mo	After date of backup (suggested retention)
2	Work orders/job orders				1	After date of completion
3	Production job log				1mo	After date job is run
						Supersedes Schedule Dated: April 26, 2000
Approved by: X Gladys Ann Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 15, 2002

November 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 1****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Institutional Research

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Cyclical internal reports: a. Final official copy b. Support materials				Perm 6	After date of report
2	Special internal reports (ad hoc): a. Final official copy b. Support materials				Perm 6	After date of report
3	Reports to state, federal government and North Central Accreditation Association: a. Final official copy b. Support materials except federal graduate report c. Support materials for federal graduate report				Perm 6 10	After date of report After date of report
4	Reports to other external agencies				3	After date of report
5	Cyclical reports issued by other organizations				2	After date of report
6	Information provided by IR to other organizational units (copies)				2	After date produced
						Supersedes Schedule Dated: April 26, 2000

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X Gladys Ann Wells

Director, Arizona State Library, Archives and Public Records

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November 15, 2002

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RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 1****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Library

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Catalog of current holdings including shelf lists (paper or electronic media)				-	Maintain current
2	Agreements, contracts and leases (library copy)				-	Dispose of after expired, terminated or revoked. Official district copy on file with procurement office
3	Borrowers/cardholders registration information (paper or electronic media)				-	Maintain current
4	Statistical records: a. Annual b. Other (monthly, weekly, etc.)				10 -	After calendar year compiled Dispose of after cumulative update
5	Grant files: a. Federal funds b. State funds				3 3	After fiscal year of final expenditure (45 CFR 1183.42) After fiscal year of final expenditure
						Supersedes Schedule Dated: April 26, 2000

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X Gladys Ann Wells

Director, Arizona State Library, Archives and Public Records

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November 15, 2002

November 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 1****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Public Information/Marketing

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	College/District advertising and promotional pieces (one example of each piece)				Perm	
2	Employee newsletter: a. Final printed edition (one copy) b. Original photos and negatives c. Articles (work copies)				Perm 5 1	After calendar year taken After calendar year written
3	Press releases				2	After calendar year written
4	TV and radio commercials (recordings)				Perm	Re-write and migrate as needed to preserve
5	Clipping file (articles from various sources about the district or college)				Perm	
						Supersedes Schedule Dated: April 26, 2000
Approved by: X Gladys Ann Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 15, 2002

November 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 3****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Public Safety

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
	Administration:					
1	Annual crime reports				5	After calendar year prepared
2	Quarterly activity reports				1	After filed
3	Budget information				1	After budget fiscal year
4	Calendars				-	After last entry
5	Citations and complaints				2	After issue date
6	Department directives / policies: a. Record copy b. Non-record distribution copies c. Office procedures				Perm - 3	After revised or superseded After revised or superseded
7	Administrative files				1	After fiscal year prepared
8	General correspondence (including memos)				2	After calendar year prepared
9	Internal office management files				2	After calendar year prepared
10	Phone messages				-	After delivery
11	Project planning files				2	After revision or completion
12	Reference materials (non-records)				-	Review annually for value
13	Transitory files				3mo	After created or received
14	Working documents				1	After calendar year prepared
15	Vehicle maintenance reports				-	After disposal of vehicle (Surplus with vehicle.)
Supersedes Schedule Dated: April 26, 2000						

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X Gladys Ann Wells

Director, Arizona State Library, Archives and Public Records

Approval Date:

November 15, 2002

November 2002

RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 2 of 3
ALL ARIZONA COMMUNITY COLLEGES

Function:

Public Safety

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
	Crime Reports & Communications:					
16	Accident (vehicle) reports:					
	a. Fatalities				10	After filed
	b. Non-fatalities				5	After filed
17	Case reports:					
	a. Serious crimes as defined in A.R.S. §13-604; homicide; misuse of public monies; felony involving falsification of public records				25	After filed; review for continued retention if case not closed
	b. All other Class 2 through Class 6 felonies				8	After filed
	c. Misdemeanors (except DUI)				3	After filed
	d. Misdemeanor DUI				5	After report prepared
18	Petty offenses				2	After filed
19	Non-criminal offenses including student code				3	After filed
20	Field interviews				2	After filed
21	Logs and rosters:					
	a. Call logs				2	After calendar year prepared
	b. Citation logs				2	After calendar year prepared
	c. Duty rosters				2	After calendar year prepared
	d. Daily radio logs				2	After calendar year prepared
	e. Sign-in rosters				1	After calendar year prepared
22	Uniform crime reports				1	After date submitted
23	Telephone / radio tapes				1mo	After date recorded
24	911 printouts				1	After date recorded
Supersedes Schedule Dated: April 26, 2000						
Approved by: X Gladys Ann Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 15, 2002

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RECORDS RETENTION AND DISPOSITION SCHEDULE

PAGE 3 of 3
ALL ARIZONA COMMUNITY COLLEGES

Function:

Public Safety

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
25	Access memoranda				-	After semester prepared
26	ATLs				3mo	After date of receipt
27	Warrants				-	Return to courts after cancellation
	Internal affairs / complaints:					
28	Citizen's complaints				2	After calendar year received
29	Internal investigations				2	After date of completion
						Supersedes Schedule Dated: April 26, 2000

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RECORDS RETENTION AND DISPOSITION SCHEDULE**PAGE 1 of 1****ALL ARIZONA COMMUNITY COLLEGES**

Function:

Purchasing / Procurement

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

No.	RECORD SERIES	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Off.	R.C.	Total	
1	Contract files including RFP/RFQ, recap, bonds, scores, award, etc.				6	After fiscal year of purchase or contract expiration
2	Oral and written price quotations				3	After fiscal year received
3	Unsuccessful bids				3	After fiscal year received
4	Late received bids including modifications, withdrawals, etc.				1mo	After vendor notified (May be returned to vendor in lieu of destruction.)
5	Canceled solicitations				1	After fiscal year canceled
6	Vendor lists and files				-	Review, update and purge annually
7	Purchase order registers				3	After fiscal year prepared
8	Purchase orders				3	After fiscal year prepared
9	Requisitions				3	After fiscal year prepared
10	Protests				5	After calendar year received
11	Receiving reports: a. Capital assets b. Other purchases				3 3	After fiscal year asset disposed of After fiscal year prepared
12	Vendor invoices: a. Equipment (\$5,000 or more) b. Land, buildings improvements, etc. (\$5,000 or more)				3 3	After fiscal year asset disposed of After fiscal year disposed of
						Supersedes Schedule Dated: April 26, 2000
Approved by: X Gladys Ann Wells Director, Arizona State Library, Archives and Public Records						Approval Date: November 15, 2002

November 2002

Chapter 5- Historical Records

NOTE: This chapter was prepared by archivists from the Arizona State History and Archives Division

A MOST VALUABLE RESOURCE

The records maintained by local governments are among the most valuable resources in their care. They are essential for the conduct of ongoing operations and the official documentation of legally binding decisions and actions of the government. They allow the public to understand civic issues. Records are the community's memory.

Records are preserved because:

- Officials use them to control and monitor government operations
- They document the conduct of public business
- Records ensure and measure government accountability
- Many government records contain information that is used by researchers from within and from outside government
- Historians and other researchers use selected government records for information on individuals, groups and the community, on the development of the government and its operations and on the life of the community itself

Everyday pressures and duties often leave officials little time for attention to records issues. To help, the Arizona State Archives encourages partnerships with local government offices by providing assistance to them.

- It helps agencies determine if they hold permanent records
- It consults on permanent records storage
- It reduces storage space required by the municipality by transferring permanent records to the State Archives;
- It reduces demands on your staffs' time after records transfers because the State Archives staff answers the constituents' questions
- It makes records available to the agency within 24-hours
- It stores records in secure areas and monitors their use
- It provides preservation services for permanent records

Permanent Records:

The State Archives has identified municipality **records** on these schedules which have **historical value**. These records are permanent and should not be destroyed. For convenience, they are listed below, but other records normally considered non-permanent may also have historical value. These include:

1. Board Minutes of boards, commissions, and committees established by statute, resolution, proclamation or ordinance.
2. Original or "official copies" of formal policy directives.
3. Original copy of organizational documentation including charts.
4. Records documenting a historic or "landmark event."

Those record series are identified in the schedule with this statement in the remarks section: "Some items within this record series, because of age or their link to high profile issues, should be retained permanently. Consult the State Archives for further information." These records cannot be given to local historical societies, museums or universities. For assistance or help with questions, write, call or e-mail:

History and Archives Division Arizona State Library, Archives and Public Records

1700 W. Washington, Suite 442

Phoenix, AZ 85007

Phone (602) 542-4159

Fax (602) 542-4402.

Internet address: archives@dlapr.lib.az.us

BIBLIOGRAPHY FOR LOCAL GOVERNMENT RECORDS

Dearstyne, Bruce W., The Management of Local Government Records; A guide for Local Officials. Nashville: American Association for State and Local History, 1988. \$14.35.

Haller, Stephen E., "Managing Records on Limited Resources; A Guide for Local Governments," Local Government Records Technical Publication Series, No. 2. Albany: National Association of Government Archives and Records Administrators, the International Institute of Municipality Clerks and the National Association of Municipalities, November 1991. \$3.00 for single copies or \$10 for full set.

Hollings, Marie Ferrara, "Should Local Governments Microfilm Their Records?," NICLOG Technical Leaflet Series, #103. Nashville: American Association for State and Local History, 1989. \$3.00.

Johnson, A.K., Jr., "A Guide for the Selection and Development of Local Government Records Storage Facilities," Local Government Records Technical Publication Series, No. 1. Albany: National Association of Government Archives and Records Administrators, the International Institute of Municipality Clerks and the

National Association of Municipalities, November 1989.
\$3.00 for single copies or \$10 for full set.

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Chapter 6- Destruction of Records

LEGALITY OF DESTRUCTION

Destroying public records *without lawful authority* is a class 4 felony (A.R.S. §38-421). The Arizona State Library, Archives and Public Records is charged by law (A.R.S. §41-1347), with the responsibility of authorizing the destruction of qualified public records.

As stated earlier in this manual, no record should be destroyed while it still has significant value . . . but no record should be maintained after its potential use does not justify cost of continued retention. The determination of value is ultimately the responsibility of the Arizona State Library, Archives and Public Records (A.R.S. §41-1347) and the Department encourages the lawful and timely destruction of eligible records. There are two methods for obtaining authorization for destruction of records:

- For records on approved retention and disposition schedules
- For records not on schedules

RECORDS ON APPROVED SCHEDULES

A retention and disposition schedule approved by the Arizona State Library, Archives and Public Records (including the general and model schedules) is a continuing authority to destroy the listed records at the end of their scheduled retention period. With an approved schedule, an agency may destroy listed records without further approval.

These schedules DO NOT pre-empt good judgment. Records required for legal or audit purposes beyond the recommended retention must be maintained until cleared by the appropriate authority before destruction.

Destruction must be reported to the Arizona State Library, Archives and Public Records after it has taken place (A.R.S. §41-1351). To simplify and standardize the reporting of records destruction, the "Report of Records Destruction/ Certificate of Destruction" must be used. Figure 5 illustrates "Report/Certificate of Records Destruction." which is available on request, in paper and PDF formats, from the Records Management Division. It is also available in screen fillable PDF format at the agency website, www.lib.az.us.

Please print clearly or use a typewriter for the paper form. Complete the form as follows:

1. In the upper right corner "Authority" enter the approval date of the agency retention schedule; if a support or model schedule is used enter the date it was approved and give the name of the function.
2. Complete the "FROM" section with the municipality name, official agency name, office name, address and zip code.

3. List the "Record Series" destroyed using the **exact** record series name(s) found on the approved schedule.
4. Enter the earliest date under "From" and the latest date under "Thru".
5. For paper estimate the volume, in cubic feet, of records destroyed. For computer records ignore the volume destroyed.

One letter size file drawer = 1.5 cu. ft.

One legal size file drawer = 2.0 cu. ft.

6. At the bottom of the certificate enter the date on which the records were destroyed, the method of destruction and the signature of the individual performing or witnessing the destruction.

RECORDS NOT ON APPROVED SCHEDULES

Records not on approved schedules may be destroyed only with explicit approval from the Director of the Arizona State Library, Archives and Public Records. To request approval to destroy records a "Single Request" (illustrated in Figure 6) must be used.

The "Single Request" is available on request, in paper and PDF formats, from the Records Management Division. It is also available in screen fillable PDF format at the agency website, www.lib.az.us.

1. ***DO NOT MAKE ANY ENTRIES IN THE SHADED AREAS.***
2. Complete the identification section with the date, municipality name, official agency name, office name, address, phone and zip.
3. The individual assigned with the duty of custodian for the records listed must sign the request. The name of that individual must be typed in the "Submitted by" area.
4. List the RECORD SERIES to be destroyed using the name of the series and a brief description if necessary.
5. Enter the earliest date of the records (FROM) and the date of the latest records (THRU).
6. Estimate the volume of paper records in cubic feet.
One letter size file drawer = 1.5 cu. ft.
One legal size file drawer = 2.0 cu. ft.
7. ***STOP.*** Remove the goldenrod copy and retain it in suspense. Send the balance of the form intact to the Records Management Division. The Director of the Arizona State Library, Archives and Public Records will provide authorization using a code placed in the "Code " column beside each record series listed. Following approval by the Director, Arizona State Library, Archives and Public Records, the Records Management Division will return the white and yellow copies to the requester for certification of destruction.

8. Destruction shall take place within 60 days of the approval date. Following destruction of the records, complete the bottom of the form with the name of the person actually destroying or supervising the destruction of the records and the date the records were actually destroyed.
9. Send the white (top) copy of the completed form to the Records Management Division. Retain the yellow copy in your office for two years.

METHODS OF DESTRUCTION

The great majority of records produced by municipalities are accessible to the general public pursuant to A.R.S. §39- 121. Records are not restricted or confidential unless specifically identified as such by statute. There is, therefore, no reason to destroy most public records with the exactness required for the destruction of confidential or restricted records.

The most desirable method of destruction for non-confidential public records is recycling. Recycling is simply the sale of the old records to a commercial firm which will eventually reprocess the old paper into new. Microfilm records can also be recycled by silver recyclers. Recycling is a source of revenue and ensures the total destruction of the records.

Shredding, pulping, mastication and disintegration are all thorough destruction methods. These methods typically require expensive specialized equipment and are labor intensive. Although thorough, they are generally incomplete methods as their end products must still be disposed of. These destruction methods should only be used for confidential or restricted records because of the relatively high cost incurred.

Burning is an inexpensive and effective method of very thorough records destruction. However, incinerators and open fires are against the law in most areas. Burning should only be used where it is legal and when it can be safely monitored and contained. Burning, when executed properly, is an extremely effective method ideal for destruction of confidential or restricted records. It is time consuming and requires constant monitoring,

making it too labor intensive for most public records destruction.

Landfill is *not* particularly recommended as a destruction method for government records. Burying records in a landfill may make the records unusable for most practical purposes, but it is not effective in truly destroying the records. Records buried in a landfill in desert areas, such as most of Arizona, may actually be preserved by the act of burying them in a dry, relatively sterile and ultra-violet free environment. Although an inexpensive option burying in a landfill can not guaranty the destruction of the records.

TRANSFER OF RECORDS

Occasionally, there may be a need to transfer records from from a political sub-division to a state agency, from a municipality to a municipal government, from a state agency to a political sub-division or from a state or municipality agency to the State Archives. This may come about because of a change in jurisdiction over some project or function or because the State Archives desires the records for their historical value.

The "Single Request" described above has also been designed to serve this purpose. Follow all of the directions above indicating that a transfer is being recommended. The Director, Arizona State Library, Archives and Public Records will review the single request and will most likely approve the transfer between any two public bodies. Transfers of public records to private individuals, private organizations or corporations will normally not be approved.

In some cases, the State Archives may request the transfer of records when an agency wishes to dispose of them. In these cases, the Director will usually approve the transfer.

The bottom of the "Single Request" has been designed so as to also document the transfer of records. As with destruction the white (top) copy is sent to the Records Management Division and the yellow copy is kept in the transferring agency's files for two years.

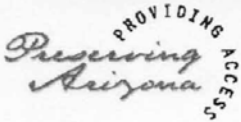
REPORT/CERTIFICATE OF RECORDS DESTRUCTION				
		Arizona State Library, Archives and Public Records RECORDS MANAGEMENT DIVISION 1919 West Jefferson Street Phoenix, Arizona 85009 Phone: 602-542-3741 Fax: 602-542-3890 E-mail: rmd@lib.az.us		AUTHORITY Date of approved schedule or manual
		<input type="checkbox"/> STATE AGENCY <input type="checkbox"/> POLITICAL SUBDIVISION		DATE
AGENCY NAME		ORGANIZATIONAL UNIT		PHONE
ADDRESS		CITY	AZ	ZIP
LIST RECORDS DESTROYED				
RECORD SERIES	DATES COVERED		ESTIMATED VOLUME *	
	FROM	THRU		
CERTIFICATE				
The above records have been destroyed so as to render them totally useless.				
DESTROYED BY (NAME)		TITLE		
SIGNATURE X		DATE		
* Volume of paper records is estimated in cubic feet to the nearest whole number. Volume of digital records may be stated by the estimated memory volume it consumed.				

Figure 5

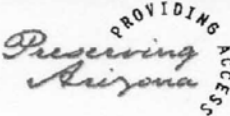
SINGLE REQUEST FOR RECORDS DESTRUCTION OR TRANSFER				
			Arizona State Library, Archives and Public Records RECORDS MANAGEMENT DIVISION 1919 West Jefferson Street Phoenix, Arizona 85009 Phone: 602-542-3741 Fax: 602-542-3890 E-mail: rmd@lib.az.us	
<input type="checkbox"/> STATE AGENCY			CONTROL NO. For RMD use only.	
<input type="checkbox"/> POLITICAL SUBDIVISION			DATE	
AGENCY NAME		ORGANIZATIONAL UNIT		PHONE
ADDRESS		CITY	AZ	ZIP
LIST RECORDS TO BE DESTROYED OR TRANSFERRED				
CODE Provided by ASLAPR	RECORD SERIES	DATES COVERED		ESTIMATED VOLUME *
		FROM	THRU	
HISTORY & ARCHIVES COMMENTS		RECORDS MANAGEMENT COMMENTS		
AUTHORIZATION				
CODE	A – Transfer to Arizona State Library, Archives and public Records.			
	B – Continue to hold until _____.			
	C – Transfer to _____.			
	D – Destroy so as to render unusable.			
AUTHORIZED/APPROVED BY X Director, Arizona State Library, Archives and Public Records			DATE	
CERTIFICATE				
<input type="checkbox"/> The above records have been DESTROYED so as to render them totally useless.				
<input type="checkbox"/> The above records were TRANSFERRED per direction.				
BY (NAME)			TITLE	
SIGNATURE X			DATE	
<i>* Volume of paper records is estimated in cubic feet to the nearest whole number. Volume of digital records may be stated by the estimated memory volume it consumes.</i>				

Figure 6